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EXAMINER

HO, THOMAS M

ART UNIT	PAPER NUMBER
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2134

DATE MAILED: 07/30/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/597,974

Applicant(s)

ROBERTS ET AL.

Examiner

Thomas M Ho

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☐ Responsive to communication(s) filed on 20 June 2000.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-59 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-59 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on 20 June 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-59 are pending.
2. Rejections under 35 USC § 112 have been withdrawn.

Response to Arguments

3. Applicants arguments filed 5/13/04 with respect to Reid et al. have been fully considered and are persuasive. The rejection of claim 1 under 35 USC § 102(e) with respect to Reid et al. has been withdrawn.

4. Applicant's arguments filed 5/13/04 have been with respect to Hayward and "SONET telecommunications" have been fully considered but they are not persuasive.

"The applicant argues in the first bullet of page 13, The Examiner has rejected claims ...as being unpatentable over the teaching of United States Patent 6,222,848(Hayward et al.) However, the Examiner then relies on a second reference, namely Tektronix, Inc. "SONET telecommunications"

As such, the Examiner's rejection of at least claims ... is based on a combination of references which is improper under 35 USC § 102."

Hayward et al. discloses the use of a SONET network. The SONET standard is in itself a detailed and complicated standard, but nonetheless one that is clearly defined. The Examiner's consideration and usage of "SONET Telecommunications" with Hayward et al was merely used as a reference to disclose particular details of the SONET standard as used by Hayward et al.

While the Hayward et al. reference does not disclose each and every detail of the SONET standard, it is understood that the details necessary to implement the SONET standard including particular composition and structure of the SONET payloads and headers, would be expected to be present in an invention of Hayward et al.

Thus, Examiner considers disclosure of the "SONET Telecommunications", a reference defining what the SONET standard, and revealing of features inherent to the SONET protocol. In light of Hayward et al.'s disclosure of the use of a SONET network implementation, and MPEP 2131.01(c), the Examiner considers use of a second 35 USC § 102 reference appropriate.

"The Examiner asserts that "Hayward teaches a method of validating a connection". That is incorrect. Hayward teaches a method a mapping high-speed Ethernet frames into a SONET frames for transport across a SONET network."

The Examiner disagrees. Hayward et al. discloses connections that are established across SONET networks. However, in order to establish connections across SONET networks, certain conditions must be met to insure the integrity and validity of the connection. The Applicant has stated that part of the mechanism which performs this "validation" is through the use of performance monitoring information. It is known however, that in SONET networks, the

Performance Monitoring information is an aspect of the section overhead, which is then in turn an aspect of the transport overhead, that must be supported for a SONET signal. In this way, by the establishing of transmissions across SONET networks, it is understood that signal validation as dictated by the elements of the SONET protocol must be supported.

“Examiner equates the SONET overhead (or portion thereof) of Hayward to the Performance Monitoring (PM) information of the present invention in order to read Hayward onto the features of subclasses (a) and (b)(i) of claim 1.

However, the Examiner then abandons this position, and instead equates the Ethernet data packets of Hayward to the PM information of the present invention in order to read Hayward onto the features of at sub-classes (b)(ii) and (b)(iii) of claim 1.

Without making any admissions regarding the validity of either of the positions taken by the Examiner, Applicant asserts that such an inconsistent application of the prior art is improper. It is self evident that the SONET overhead and the Ethernet data packet are in no way similar. The PM overhead of the present invention may be interpreted (albeit incorrectly) as being equivalent to either SONET overhead or Ethernet data packets, but not both at the same time. Furthermore, it is clearly improper to hop-scotch between different implementations of claimed feature in order to fit a prior art reference to the various elements of a claim.”

The cited reference which Applicant is referring to states

“Ethernet data packets are included in SONET payloads by prefixing SONET header information and appending SONET trailer information to the data packets. At the destination transport node the Ethernet data packets are removed from one or more SONET payloads, re-assembled if they were spread out over more than one SONET payload, and then transmitted to the destination device.”

The prefixed SONET information, and the SONET payloads in particular is inclusive of the PM information. While Hayward does not explicitly state this, it becomes clear when one examines the contents and composition of the SONET payload as disclosed by the SONET telecommunications standard. Figure 4 of page 5 discloses in particular the Synchronous Payload Envelope. The diagrams on page 5, further disclose aspects of the payloads, in particular the transport overhead. However, one of ordinary skill in the art would understand that the transport overhead itself, is still composed of subparts. This is revealed on page 7, "Section Overhead" and figure 7. Furthermore, one of ordinary skill in the art, would then realize that the section overhead, which is apart of the transport overhead, which is apart of the SONET payload, itself supports specific functions. In this case, it is clearly revealed by the nature of the SONET standard, that the section overhead supports Performance Monitoring signal or information. (Page 7 "Section Overhead")

The Examiner disclosed for (b)(ii) (Column 5, lines 61-62) that a buffer is used in Hayward et al. to store parts of a data packet received from different SONET payloads until the packet is reassembled in the buffer. Since it has been established above that the SONET payload is inclusive of the Performance Monitoring information, the buffering to store parts of the data packet received from different SONET payloads also effectively buffers the extracted PM information.

Furthermore, for (b)(iii), the reference as cited states) that a buffer is used in Hayward et al. to store parts of a data packet received from different SONET payloads until the packet is

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reassembled in the buffer and can be transmitted in its entirety. The reassembling of this information in the buffer is tantamount to reinserting the PM information. Both processes involve the combining of information to form the final packaged data to be sent.

As to the rejection of claims 16-18, 20-22, 24-26, 29, 31, 34, 48-49, 51-53, 55-57 and 59 under 35 USC 103(a) as being unpatentable over Hayward, the Applicants argue that a rejection is improper because the Applicants have successfully invoked the exclusion of commonly assigned prior art under 35 USC 103(c). A statement of common ownership must comply with certain formal requirements. The statement of common ownership should be clear and conspicuous (e.g., on a separate sheet of paper or in a separately labeled section.) MPEP 706.02(1)(2). In this case, the Applicant's statement is not clear and conspicuous because it is not on a separate sheet of paper or in a separately labeled section. Therefore, the Applicants have not successfully invoked the 35 USC 103(c) exclusion and the rejection of the claims under 35 USC 103(a) stands.

Claim Rejections - 35 USC § 102

5. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

6. Claims 1-15, 19,23, 27-28, 30, 32-33, 35-47, 50, 54, 58 are rejected under 35

U.S.C. 102(e) as being anticipated by Hayward et al.

Tektronix, Inc. discloses in more detail, aspects of the SONET protocol, which are understood to be used by Hayward et al., which is a method and apparatus for routing data packets via a synchronous optical network (SONET).

In reference to claim 1:

Hayward et al. discloses a method of validating a connection mapped between first and second end-nodes via at least one intermediate node in a communications network, the method comprising the steps of:

- a) at the first end-node, inserting performance monitor (PM) information into a predetermined location within the data signal conveyed through the connection, where the first end node is a packet generating device such as a LAN (Column 4, lines 41 – 44), and the PM information that is inserted is the SONET header information. (Column 4, lines 66 – Column 5, line 5)
- b) at the at least one intermediate node:
 - i. extracting the PM information from the predetermined location within the signal received at the intermediate node, where the intermediate node is the transport node. (Column 5, lines 35-39)
 - ii. buffering the extracted PM information. (Column 5, lines 61-62)
 - iii. reinserting the buffered PM information into the predetermined

location within the signal prior to, transmitting the data signal
toward the second end-node (Column 5, lines 4-5, lines 61-65)

- c) at the second end-node, extracting the PM information from the data signal,
where the second end-node is the destination device or output path (Column 5,
lines 4-5, lines 61-65)

In reference to claim 2:

Tektronix, Inc. discloses a method wherein the data signal contains a SONET/SDH SPE and the step of inserting the PM information comprises a step of inserting the PM information into a predetermined location within a transport overhead (TOH) outside of the SPE, where the transport overhead is outside of the SPE (Tekronix, page 5, Figure 4 and **“STS-1 SPE in Interior of STS-1 Frames”**), and the PM information(Performance monitoring) is placed in the section overhead. (Tekronix, page 7, **“Section Overhead”**)

In reference to claim 3:

Tektronix, Inc. discloses a method wherein each node in the network is adapted to support a plurality of connection layers and the connection is mapped on one of the plurality of connection layers, where the connection layers are the Sections, Lines, and Paths. (Cover Sheet, **“SONET SYSTEM HIERARCHY”**)

In reference to claim 4:

Tektronix, Inc. discloses a method wherein PM information respecting each layer is inserted into

a respective predetermined location of the TOH, where the PM information(Performance monitoring) is placed in the section overhead. (Tekronix, page 7, “**Section Overhead**”)

In reference to claim 5:

Tektronix, Inc. discloses a method wherein the step of inserting PM information comprises a step of inserting one or more of a Trace field; a Parity field; and an indicator field, where byte J0 and B1 of the section overhead contains a trace field and a parity field, and bytes H1 and H2 of the line overhead discloses an indicator field. (Tekronix, page 8, “**Table 3. Section Overhead**”, “**Table 4. Line Overhead**”) Bytes J1 and B3 also disclose additional portions of the trace and parity. (Tekronix, page 9, “**Table 5. STS Path Overhead**”)

In reference to claim 6:

Tektronix, Inc. discloses a method wherein the step of inserting a Trace field comprises inserting a nibble of a trace message for communicating information concerning the connection, where inserting the nibble of the trace message comes about with the construction of the STS-1 Frame. (Tekronix, page 8, “**Table 3. Section Overhead**”)

In reference to claim 7:

Tektronix, Inc. discloses a method wherein the step of inserting the nibble of a trace message comprises a step of inserting successive nibbles of the trace message into respective successive signals until an entire trace message has been sent, where the trace byte J1 is inserted into respective successive signals, in each STS-1 frame. (Tekronix, page 9, “**Table 5. STS Path**”)

Overhead”)

In reference to claim 8:

Tektronix, Inc. discloses a method wherein the step of inserting a Trace field comprises repeating the trace message after the entire trace message has been sent, where the trace message is repeated to verify continued connection to the intended transmitting terminal. (Tekronix, page 9, **“Table 5. STS Path Overhead”**)

In reference to claim 9:

Tektronix, Inc. discloses a method wherein the step of inserting a parity field comprises a step of calculating a parity value in respect of a data signal, and inserting the parity value into a next data signal to be transmitted, where the parity value is calculated and placed in byte B3 (Tekronix, page 9, **“Table 5. STS Path Overhead”**)

In reference to claim 10:

Tektronix, Inc. discloses a method wherein the data signal contains a SONET/SDH SPE and the parity value is a BIP-8, where the BIP-8 is B1. (Tekronix, page 11, **“Table 6. Anomalies, Defects, Failures”**)

In reference to claim 11:

Tektronix, Inc. discloses a method wherein the parity value is calculated starting after an H2 byte of a transport overhead (TOH) portion of the signal, and incorporates all SPE bytes until the H2

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byte of a next data signal, where the H2 byte is a part of the STS-1 pointer which depicts the offset value to the byte where the SPE begins, this “incorporating” all SPE bytes until the H2 byte of the next signal. (Tekronix, page 12, 3rd paragraph)

In reference to claim 12:

Tektronix, Inc. discloses a method wherein the step of inserting an indicator field comprises a step of accumulating an error count in respect of the data signal, where the indicator field that determines this is the Bit Error Rate. (Tekronix, page 27, Bit Error Rate)

In reference to claim 13:

Tektronix, Inc. discloses a method wherein the data signal is a SONET/SDH signal and the error count is a BIP-8, where each error is determined by BIP-8 (B1). (Tekronix, page 11, “**Table 6. Anomalies, Defects, Failures**”)

In reference to claim 14:

Tektronix, Inc. discloses a method wherein the step of extracting the PM information comprises a step of extracting one or more of a trace field, a parity field, and an indicator field, where these bytes are extracted by a receiving node, and where byte J0 and B1 of the section overhead contains a trace field and a parity field, and bytes H1 and H2 of the line overhead discloses an indicator field. (Tekronix, page 8, “**Table 3. Section Overhead**”, “**Table 4. Line Overhead**”) Bytes J1 and B3 also disclose additional portions of the trace and parity. (Tekronix, page 9, “**Table 5. STS Path Overhead**”)

In reference to claim 15:

Tektronix, Inc. discloses a method wherein the step of extracting a parity field further comprises a step of calculating a parity value in respect of the received data signal, where the parity field is extracted in order to calculate transmission errors for the previous STS-N frame, already received. (Tektronix, page 8, “**Table 3. Section Overhead**”)

In reference to claim 19:

Tektronix, Inc. discloses a method wherein the step of extracting an indicator field further comprises the steps of:

- a) monitoring the indicator field of each successive received data signal, where the indicator fields are H1 and H2 to determine the starting point of the SPE.
- b) asserting an AIS state if the indicator field of each of first predetermined number of successive data signals contains a first predetermined value, where the indicator bytes H1, and H2 are additionally used to detect STS path Alarm Indication Signals. (AIS-P)

(Tektronix, page 8, “**Table 3. Section Overhead**”)

In reference to claim 23:

Tektronix, Inc. discloses a method wherein the step of extracting an indicator field further comprises the steps of:

- a) monitoring the indicator field of each successive received signal, where the signals are monitored for an AIS state.

b) asserting an RDI state if the indicator field of each of a second predetermined number of successive signals contains a second predetermined value, where the RDI state is asserted in the case of an AIS defect.

(Tekronix, page 11, “**Table 6. Anomalies, Defects, Failures**”)

Claim 35 is rejected for the same reason as claim 1.

Claim 36 is rejected for the same reason as claim 2.

Claim 37 is rejected for the same reasons as claim 3.

Claim 38 is rejected for the same reasons as claim 4.

Claim 27, 39 is rejected for the same reasons as claim 5.

Claim 28, 40 is rejected for the same reasons as claim 6.

Claim 41 is rejected for the same reasons as claim 7.

Claim 42 is rejected for the same reasons as claim 8.

Claim 43 is rejected for the same reasons as claim 9.

Claim 44 is rejected for the same reasons as claim 10.

Claim 45 is rejected for the same reasons as claim 11.

Claim 46 is rejected for the same reasons as claim 12.

Claim 47 is rejected for the same reasons as claim 13.

Claim 32 is rejected for the same reasons as claim 14.

Claim 33 is rejected for the same reasons as claim 15.

Claim 30, 50, 58 is rejected for the same reasons as claim 19.

Claim 54 is rejected for the same reasons as claim 23.

Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

7. Claims 16-18, 20-22, 24-26, 29, 31, 34, 48-49, 51-53, 55-57, 59 are rejected under 35 U.S.C. 103(a) as being unpatentable over Hayward et al.

In reference to claim 16:

Hayward et al. fails to explicitly disclose a method, further comprising the steps of:

- a) comparing the recalculated parity value with a received parity value contained in the extracted parity field to obtain an error count; and
- b) XORing the error count with the received parity value.

The examiner takes official notice that computing parity values by comparing the calculated parity value against the received parity value is well known to those of ordinary skill in the art. Even bit parity computations would be XORed against an expected value. A value of 1 is returned if a certain bit is flipped. Although it cannot detect where, XORing can detect whether

or not a single error has occurred. Examples of this appear in an Error Checking and Correction tutorial, provided by Samsung, and in this Introduction to Error Detection and Correction, by the University of New Brunswick.

It would have been obvious to one of ordinary skill in the art at the time of invention to compare the recalculated parity value with a received parity value and XORing the error count with the received parity value, in order to compute the whether the error count and determine if it was correct.

In reference to claim 18:

Tektronix, Inc. discloses a method, further comprising a step of accumulating the error count value in respect of the received data signal, where the error count is accumulated in reference to a unit of time. (Tekronix, page 27, Bit Error Rate)

In reference to claim 20:

Hayward et al. fails to explicitly disclose a method, further comprising a step of de-asserting the AIS state if the indicator field of each of the first predetermined number of successive data signals contains a value other than the first predetermined value.

The examiner takes official notice that it is well known to those of ordinary skill in the art to assert an alarm state when a certain condition is met, and to de-assert that when that condition is no longer present.

It would have been obvious to one of ordinary skill in the art at the time of invention to

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de-assert the AIS state if the indicator field of each of the first predetermined number of successive data signals contains a value other than the first predetermined value, because the signal should not be treated as if it was in an alarm state if in reality, it was not.

In reference to claim 21:

It would have been obvious to one of ordinary skill in the art at the time of invention to set the predetermined number successive data signals to three to achieve a balance between having too few successive states and not knowing whether the AIS should still persist, and having too many successive states and applying actions resulting from the AIS state persisting when it wasn't necessary.

In reference to claim 22:

It would have been obvious to one of ordinary skill in the art at the time of invention to set the first predetermined value is binary "1111", to have a binary state set as cause for the AIS signal. Applicant appears to support this view on (page 7, lines 18- 23) that this number may be "1111" or may be set to a different value.

In reference to claim 26:

Hayward et al. to disclose a method wherein the step of buffering the extracted PM information comprises double-buffering the extracted PM information.

Hayward et al. does disclose buffering the information.

The examiner takes official notice that double buffering was well known to those of

ordinary skill in the art at the time of invention with advantages and principles similar to that of buffering.

It would have been obvious to one of ordinary skill in the art at the time of invention to double buffer the extracted PM information to help regulate the differences in transmission speeds in the creation of the packets and allowing access to the PM information when it was needed.

Claim 17, 29, 48 is rejected for the same reasons as claim 16.

Claim 34, 49 is rejected for the same reasons as claim 18.

Claim 51 is rejected for the same reasons as claim 20.

Claim 24, 52 is rejected for the same reasons as claim 21.

Claim 25, 31, 53, 59 is rejected for the same reasons as claim 22.

Claim 55 is rejected for the same reasons as claim 24.

Claim 56 is rejected for the same reasons as claim 25.

Claim 57 is rejected for the same reasons as claim 26.

Conclusion

8. THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of the final action and the advisory action is not mailed under after

the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension pursuant to 37 CFR 1.136(A) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

9. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Thomas M Ho whose telephone number is (703)305-8029. The examiner can normally be reached on M-F from 8:30am – 5:00pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory A. Morse can be reached at (703)308-4789. The fax phone numbers for the organization where this application or proceeding is assigned are (703)746-7239 for regular communications and (703)746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703)306-5484.

TMH

July 23rd, 2004

Andrew Caldwell
Andrew Caldwell